

No: Y15-101

Title: Records Management

Rev: 11/01/2000

This procedure defines the process of managing all records (programmatic and administrative) within BWXT Y-12, assigns responsibilities for records management, and establishes consistent administrative controls to achieve compliance with requirements

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**BWXT Y-12, L.L.C.
PROCEDURE BLUE SHEET**

Effective Date: November 1, 2000
Page: 1 of 2

This blue sheet applies to: ☐ Entire Manual or ☒ Procedures Specified Below

Manual Title 15 Series Management Systems		
Procedure No./Title Y15-101/Records Management	Revision No.	Date 12/29/98
Procedure No./Title	Revision No.	Date
Procedure No./Title	Revision No.	Date
Revision Type: <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Cancel <input type="checkbox"/> Major Revision (if checked, specify projected completion date) Date:		
If complete revision required, identify need:		
Description of Change <u>General</u> Replace Energy Systems with BWXT Y-12, L.L.C. Replace LMES with BWXT Y-12, L.L.C. Change LMES Approved Comprehensive Records Schedule to Approved Comprehensive Records Schedule Change Energy Systems Approved Comprehensive Records Schedule to Approved Comprehensive Records Schedule Replace EICMS with SMART <u>Other Documents Needed</u> Delete Energy Systems Administrative Reference Guide Change Y14-192, Occurrence Reporting and Notification to Y14-192, Occurrence Notification and Reporting Change IO-157, Privacy Act Compliance to Y15-107, Privacy Act Compliance Replace QA-911, Management Assessment and Y60-028, Y-12 Plant Management Assessment with Y60-902, Management Assessment Delete IEEE Std 730.1-1995, IEEE Guide for Software Quality Assurance Planning Add Y60-WP-014, Quality Assurance Records Add BWXT Y-12, L.L.C. Contract No. DE-AC05-00OR22800 <u>What To Do</u> Under A., Note 1 and Note 2, Replace Electronic Information Content Management System (EICMS) to System for the Management of Archives, Records and Documents (SMART) Under D.1., delete 3 rd bullet: "for business performed for Lockheed Martin Corporation"		
This document has been reviewed and determined not to require an ADC or UCNI review in accordance with ES/PSO-1.		
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BWXT Y-12, L.L.C.
PROCEDURE BLUE SHEET - CONTINUATION

Effective Date: November 1, 2000
Page: 2 of 2

Manual Title 15 Series Management Systems		
Procedure No./Title Y15-101/Records Management	Revision No.	Date 12/29/98
Description of Change (Continued) <u>What To Do</u> Under D.1. last para., change "...DE-AC05-84OR21400 at http://www-internal.ornl.gov/BMA/contracts/contract toc.html..." to "...DE-AC05-00OR22800..." Under D.6. 2 nd para., delete "...in the Energy Systems Administrative Guide," and change "IO-157" to "Y15-107". Under D.7. 2 nd para., delete "...incorporated in the Energy Systems Administrative Reference Guide..." Under E.2., Note 2:, change "...by operating divisions..." to "...by operating divisions..." Under E.5., add "d. As appropriate, distribute to same recipients as original record." Under J.1., change "...60-028, Y-12 Plant Management Assessment and QA-911, Management Assessment." to "...Y60-902, Management Assessment."		
<u>Appendix A, Definitions and Acronyms</u> p. 2 of 6, Energy Systems Approved Comprehensive Records Schedule, change "...approvals from NARA, DOE, and Lockheed Martin Corporation." To "...approvals from NARA and DOE." p. 4 of 6, Recordkeeping Requirements, change "...regulations, corporate procedures, or..." to "...regulations, or..." p. 5 of 6, Records, change "...Contract DE-AC05-84OR21400..." to "...Contract DE-AC05-00OR22800..." p. 6 of 6, Records Schedules, change "...DOE, NARA, and Lockheed Martin Corporation." to "...DOE and NARA." p. 6 of 6, Uniform Filing Guide, change "...at Energy Systems." to "...at Y-12."		
<u>Appendix B, Sample Disaster Recovery and Prevention Plan</u> p. 1 of 4, under Note:, change "...Document Response Centers, File Stations of major records collections (i.e., site personnel records, site medical records, etc.), and Facility Records." to "...Document Response Centers, and File Stations of major records collections (i.e., site personnel records, site medical records, etc.)." p. 3 of 4, 2 nd para., change "Active..." to "Activate..." p. 4 of 4, last para., 2 nd bullet, change "...inhibit..." to "...inhibit..." p. 4 of 4, last para., 3rd bullet, change "...brush..." to "...brush..." p. 4 of 4, last para., 5th bullet, change "...resotration..." to "...restoration..."		
<u>Appendix C, Supplementary Requirements for Selected Records Series and Record Media</u> p. 1 of 15, 1 st para., change "...found in IO-157, Privacy Act Compliance and MD-152, Release of Medical Records Outside Energy Systems." to "...found in Y15-107, Privacy Act Compliance." p. 1 of 15, A.2., change "Implement and maintain and effective..." to "Implement and maintain an effective..." p. 2 of 15, A.3., delete "Additional guidance for quality software records are contained in IEEE Standard 730.1-1995." p. 3 of 15, B.4.a., change "...Energy Systems Uniform Filing Guide..." to "...Uniform Filing Guide..."		
This document has been reviewed and determined not to require an ADC or UCNI review in accordance with ES/PSO-1.		
SIGNATURE ON FILE Doris Heim		10/19/00 Date
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Lockheed Martin Energy Systems, Inc.
Command Media

Number: Y15-101

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Supercedes: IO-101

Page: 1 of 50

Energy Systems
Management Control

Subject: Records Management

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This procedure has been reviewed by an
Authorized Derivative Classifier and has
been determined to be UNCLASSIFIED.
This review does not constitute clearance
for public release.

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Subject: Records Management

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REVISION LOG
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Effective Date	Description of Change	Pages Affected
1/2/99	PM/R 98-IMS-004 New procedure to replace IO-101, Records Management, and to satisfy ESAMS finding A0080386. Provide additional guidance for implementing requirements. Insert where and when to use the LMES records management system, Electronic Information Content Management System (EICMS) and Records and Information Locator System (RAILS).	All

Subject: Records Management**PURPOSE**

This procedure defines the process of managing all records (programmatic and administrative) within Energy Systems, assigns responsibilities for records management, and establishes consistent administrative controls to achieve compliance with requirements and to establish good business practices. An efficient, effective and functioning records management program is a necessary element for mission success.

APPLIES TO

This procedure applies to all Energy Systems organizations and functions.

**OTHER
DOCUMENTS
NEEDED**

- ! LMES Approved Comprehensive Records Schedule
- ! Energy Systems Administrative Reference Guide
- ! ES/PSO-1, *Manual for the Protection and Control of Classified Matter and Other Protected Information*
- ! Y15-105, *Freedom of Information Act Requests*
- ! Y14-192, *Occurrence Reporting and Notification*
- ! IO-157, *Privacy Act Compliance*
- ! QA-911, *Management Assessment*
- ! Y60-028, *Y-12 Plant Management Assessment*
- IEEE Std 730.1-1995, *IEEE Guide for Software Quality Assurance Planning*

Subject: Records Management

WHAT TO DO **A. Defining Roles and Responsibilities for Records Management**

NOTE 1: Personnel responsible for managing records are abbreviated throughout this procedure as listed below. Exact titles may vary among organizations.

OM - Organization Manager/Line Manager

RC - Records Custodian

RO - Records Officer

RS - Records Services

The management of records is a company-wide activity with responsibilities for creating and preserving records distributed to all employees. Unique responsibilities for the records management system are performed by each function as defined below:

EICMS software configuration manager - responsible for maintaining the Electronic Information Content Management System (EICMS) in a compliant, and cost effective manner and for ensuring changes made to the system do not jeopardize the integrity of the records contained within EICMS (single position).

Organization Manager/Line Manager - responsible for implementing records management policies and procedures including records management controls, and for establishing adequate resources within the organization to effectively manage records produced or maintained by organization (multiple positions).

Record Custodian- responsible for creating, using, and dispositioning records according to this procedure and ensuring any vital records in their custodianship are kept current and complete, are adequately protected, accessible, and immediately usable. Organizations may have multiple custodians. Any employee or subcontractor to LMES may be a custodian - it is not restricted to a particular job code or organizational group but is based on whether you have records are in your possession (multiple positions).

Subject: Records Management**A. Defining Roles and Responsibilities for Records Management (cont.)**

Records Officer - responsible for establishing company policy on records management, determining authorized retention periods for DOE-owned and contractor-owned records, making training and guidance available to record custodians, supporting organization and line managers in implementing requirements, and providing adequate records management controls across the company (single position).

Records Services - responsible for maintaining a site records center in accordance with requirements for inactive records, and for providing other services as defined in agreements between organization managers and records services.

NOTE 2: The designated electronic information system for tracking active and inactive records within LMES and for designating authorized retention periods for records is the Electronic Information Content Management System (EICMS). EICMS is a set of tools that include an Oracle data base, a client-server management interface, a report generator, and WWW applications. A key WWW application for records management is the Records and Information Locator System (RAILS) which enables all LMES employees to view, modify, or delete inventories of records in their custodianship for both active and inactive records and enables functionality for selected activities at the user's desktop. More information about these systems and records management in general can be found at the records management home page at



<http://www-internal.ornl.gov/info-policy/recmgt.htm>.

Subject: Records Management

B. Determining What is a Record

NOTE 1: Documentary materials are records when they meet these criteria: [when] they are made or received in connection with the transaction of business, and they are preserved or are appropriate for preservation as evidence of the organization, functions, and activities, or because of the value of the information in them. A record is any recorded information relating to the work of your office, regardless of who created it or how the information was recorded. Records vary widely in form and may include paper documents such as letters, reports, and completed forms as well as other media such as photographs, maps, computer tapes and disks, and e-mail messages. Records created by LMES are subject to Government regulations for Federal records. Examples of records are official correspondence; working papers that form the basis for a decision and are circulated to staff for comment; personnel folders; some e-mail messages; and automated information systems such as PALS. Designating something a record is not dependent on whether it is an original or a copy, and multiple copies of the same document may each have record status if they serve a separate function and are controlled under different files or filing systems.

NOTE 2: Non-records include stocks of publications or blank forms, extra copies of documents maintained for convenience, letters received by an employee concerning his/her personal business, information copies of letters received on which no action is required or taken, or personal papers.

NOTE 3: Records may be acquired from external sources including from subcontractors performing work for Energy Systems.

OM/RC

1. Evaluate the content of the document and determine if it is a record, non-record, or personal paper.

RC

2. IF the information created or acquired meets the definition of a record as provided above or in Appendix A, THEN
make it a record and subject to all requirements and processes included in this procedure.
3. Dispose of non-records at will when no longer needed.

Subject: Records Management**C. Establishing Supplemental Organization Guidance**

OM

1. IF additional procedures, guidance, or training is developed to supplement this procedure, THEN
obtain sign off by the Records Officer to ensure consistent interpretation and direction is provided in accordance with this procedure.

D. Creating Records

NOTE 1: Records are created and/or acquired by all organizations, including administrative records (budget, personnel, travel, etc.) that are common to most organizations, and programmatic records (weapon records, environmental management records, and records that document the program responsibilities of individual offices/divisions) that are unique to organizations.

NOTE 2: Once a record has been created, reviewed, and approved, it is considered completed.

OM/RC

1. Create records that provide adequate and proper documentation of the work performed
 - under contract to DOE,
 - under Work for Others contracts as negotiated,
 - for business performed for Lockheed Martin Corporation,
 - for other Oak Ridge reservation contractors as negotiated

Records resulting from these activities include records that are DOE-owned records for which Energy Systems has custodianship, or contractor-owned records. The majority of records created under contract with DOE are considered DOE-owned records. The current version of DE-AC05-84OR21400 at



http://www-internal.ornl.gov/BMA/contracts/contract_toc.html

lists contractor-owned record categories.

Subject: Records Management**D. Creating Records (cont.)**

OM/RC

2. Produce records through a standard business process or as part of normal business operations so that they are trustworthy and reliable to ensure the legal admissibility of original records or their reproductions in formats such as digital, microform, or photostatic copies of records.

RC

3. Designate documentation as record copy when it does not result in unreasonable burden.

For instance, if an e-mail message meets the definition of a record, the notation of RC for record copy should be incorporated within the mail message and the record custodian responsible for the preservation of the record should be designated. Designating a particular copy of a report or memo as the record copy also ensures that holders of multiple copies do not needlessly retain them.

4. Ensure that the record is accurate, complete, legible, reproducible or in usable electronic format, and that it is created on an appropriately controlled form when one exists.
5. Safeguard records with appropriate levels of access controls so that only people with a need to view records have access to them. The level of control is dependent on the content of the record, with sensitive (such as Privacy Act records) or classified records having the greatest level of control.

For electronic records particularly, this access control should be built into the design and creation process.

6. Apply proper markings and access control/protection before dissemination of the record. depending on the sensitivity or classification of the record

Additional requirements are found in the Manual for the Protection and Control of Classified Matter and Other Protected Information, in the Energy Systems Administrative Guide, in Y15-105 and IO-157, and in other organizational and company-level procedures.

Subject: Records Management**D. Creating Records (cont.)**

RC

7. Incorporate records into existing filing schemes, establishing a means of effectively retrieving the records for their lifetime. Store records in locked file cabinets or secured rooms.

Use of the Uniform Filing Guide incorporated in the Energy Systems Administrative Reference Guide is recommended.

8. IF the record being created is within an automated information system, THEN

verify that the information system complies with requirements for recordkeeping as described in this procedure before implementing (and no later than within a year of operation).

These requirements include the ability to identify, locate, retrieve, store, and preserve records according to an authorized retention schedule.

OM/RC

9. Design systems to enable records to be deleted or retained for varying authorized retention periods. If systems are designed without this ability, contents of the entire system must be retained for the longest retention period of any part of the system.

10. IF the record is electronic, THEN

a migration plan for retaining access and retrieval capabilities for long term access needs must be developed prior to software or hardware changes that impact the retrievability of records. The migration plan should:

- Document what is planned and what is to be done during the migration (such as migrate from Software X to Y or from Machine A to B)
- Perform the migration with appropriate quality controls in place.
- Back up electronic files
Backup files are not recordkeeping systems.

Subject: Records Management

D. Creating Records (cont.)

NOTE 3: Records may be in any medium. There is potential for loss of electronic records because of:

- hardware and software dependency
- dependency on indexing/reporting tools and labeling
- fragility and stability of magnetic data

OM/RC

11. Plan at, or before, the creation cycle to ensure preservation, integrity of data, and continued access and retrieval of the content, context, and structure.

RC

12. IF the record is an e-mail message, THEN
print and retain the message as a paper record or retain electronically in a special record copy only folder or diskette (if retention requirements are short) and DO NOT intermingle with other messages in an e-mail outbox or sent file.
- a. Store and protect e-mail records electronically, so that records are retrievable for the authorized retention period of the record.
 - b. Include the distribution list of the record and the date in the message, regardless of storage method used.

Examples of e-mail messages that are records include messages documenting official actions taken and decisions made, messages documenting work to be accomplished and work completed, official transmission of programs/policies and decisions, documentation of oral discussions, reports, papers, and studies.

Subject: Records Management**D. Creating Records (cont.)**

OM/RO

13. IF subcontractors are expected to create records that are documentary evidence of work performed under the contract we have with DOE, THEN

Ensure, in collaboration with the Records Officer, that contracts specify record requirements as follows:

- identify records to be generated by subcontractor (or their secondary subcontractors)
- provide accessibility of records to Energy Systems personnel as needed during the contract
- organize records for retrieval
- provide a mechanism and funding as part of the contract for records turnover to Energy Systems at end of contract
- verify that all records management requirements are met before contract closure

E. Using Records

Note 1: During the period of time when the record is needed to conduct business, it is considered active. Records produced by individuals are a critical asset for the company and its partners and must be part of an integrated process (which include moving the records to the SRC as soon as they become inactive). This process enables timely and cost effective access to and retrieval of information, regardless of location, and regardless of media used to create or preserve the record.

RC

1. Maintain records in a centralized records collection or in offices, while capturing adequate metadata about the record to ensure effective and timely retrieval of the record.

Metadata is information captured about the record, such as title, author, time created, etc. Since metadata on records is used for electronic cataloging, it should be compliant (where standards exist), flexible, exchangeable, and capable of being changed as needed.

Subject: Records Management**E. Using Records (cont.)**

RC

2. Index records sufficiently to link them to related activities, and to provide for revision and cross-referencing.

NOTE 2: Major collections include the Site Records Center (SRC) and collections of irreplaceable records such as medical or personnel records. Some document management centers (DMCs) maintained by operating divisions should also be considered major collections in the following requirement, depending on the value or sensitivity of the records maintained in the DMC.

RC

3. IF records are maintained in a centralized collection considered a major collection, THEN develop and keep current a disaster recovery plan (see Appendix B for a sample plan).
4. Retain records until an authorized retention for the record has been established.

The process for determining the authorized retention period is included in Section H of this procedure.

5. Create a supplemental record (that includes traceability for the revision) to correct errors identified in a completed record or to make modifications to the record.
 - a. Correct and/or modify records providing the same level of review and approval as the original record.
 - b. Ensure that corrections are legible.
 - c. Document the reasons for revisions to records (to the extent possible) and retain with the record
6. Provide access control based on the classification or sensitivity of the records to prevent unauthorized use, disclosure, theft, or destruction of records.

This can be accomplished through a locked cabinet, secured room, or vault with a list posted of who may have access. For electronic records, protection can include screen savers, passwords, etc., to protect data. Don't keep important records in desk drawers.

Subject: Records Management

F. Maintaining Records

OM/RC

1. Maintain inactive records that are no longer needed in the office area to conduct business but have an authorized retention period of greater than one year, in more cost effective ways such as transferring them to the SRC. Storage requirements for records stored in offices and/or DMCs are included in Section F of this procedure.

Administrative and programmatic records may be stored in the SRC (non-records are not permitted).

General instructions for preparing and sending records to the SRC are found at <http://www-internal.ornl.gov/info-policy/src.htm>



- a. Ensure that potentially contaminated records are green-tagged by Health Physics before transfer. DO NOT send contaminated records without special authorization from the SRC.
- b. Ensure boxes which contain classified material have the appropriate document cover affixed to the top of the box to reflect the highest classification level contained within,
- c. Ensure all boxes of records contain an index or listing of contents to allow for verification.

RS

2. WHEN managing a Site Records Center, THEN comply with Energy Systems S/RID requirements for storage for records centers. Due to the size and diversity of the SRC collection, requirements over and above those for office files and DMC collections exist.

RC/RS

3. Use a graded approach for the life cycle of a record to protect it based on its value.

Some records are valuable enough to require a rigorous level of protection. (However, the most stringent requirements apply only to a subset of all records.) If you have records that fit within the following categories, the most stringent requirements for storage and protection apply. See Appendix C for supplementary requirements for selected records media.

Subject: Records Management

F. Maintaining Records (cont.)

- **vital records** (emergency operating records and selected legal and financial records) These must be retrievable in a timely manner since individuals unfamiliar with the records must be able to use them in an emergency or on demand. Vital records are identified and documented on the records management home page:



<http://www-internal.ornl.gov/info-policy/recmgt.htm>

Contact the Records Officer if you identify new records that should be added to the vital records program.

NOTE: Epidemiology records have been designated by DOE as covered under a moratorium, and may not be disposed of at this time. Weapon records are also covered under an existing moratorium on destruction.

- **epidemiology records** (documents that provide information about people who currently work or did work at the Y-12 site, duration of employment, job duties, exposures to potential health hazards, and health problems they may have had during their employment) Other site records useful for measuring any potential health effects upon surrounding communities also may be included.
- **historically significant records** (selected drawings of special facilities or equipment, selected records associated with significant events having intense public interest, etc.)
- **permanent records** (selected files on occurrences of widespread public interest, medical or health research project case files, etc.) Permanent records must eventually be considered for transfer to the National Archives and Records Administration. Records that are unscheduled must be handled as if they were permanent until they are scheduled.
- **lifetime quality assurance records** (the subset of records relating to quality which have been determined to require the most rigorous protection and retention) An example would be a record which must be retained for the entire life of a particular facility.

Subject: Records Management**F. Maintaining Records (cont.)**

4. Ensure that records listed above are not misplaced or loaned to others without a method to account for their return.
5. IF stored in a central area, THEN
maintain access control over the collection and establish documentation on removals sufficient to ensure prompt return of the loaned records.

OM/RC

6. WHEN records are located outside the SRC, THEN
store records listed above by one of the following methods or their equivalency. Work with the Fire Protection Organization or other qualified sources in cases where equivalency must be established
 - a. one-hour fire-rated file cabinet, plus adequate smoke detection or fire-suppression systems, and reasonable safeguards against theft, water damage, rodent or insect infestation, or floods
 - b. an identified duplicate storage area in a separate location sufficiently remote from each other to eliminate the chance of exposure to a simultaneous hazard
 - c. duplicate information on other record media

OM/RC

7. WHEN records are located outside the SRC, THEN
store records other than those listed above by the following method or their equivalency.
 - a. file cabinets (lockable or located in lockable rooms), plus adequate smoke detection or fire-suppression systems, and reasonable safeguards against theft, water damage, rodent or insect infestation, or floods.

OM/RC/RS

8. IF records are lost or damaged and cannot be replaced, THEN
determine if the loss falls under the scope of current requirements for occurrence reporting (per Y14-192, *Occurrence Notification and Reporting*). Records listed above as requiring the most stringent storage and protection requirements should generally be considered as requiring reporting.

Subject: Records Management**F. Maintaining Records (cont.)**

RC

9. IF records are determined to be appropriate for off-site storage and authorized through the SRC, THEN
store records at the Federal Records Center (FRC).

To determine transfer eligibility or obtain authorization for transfer, contact the SRC.

G. Disposing of Records

NOTE 1: Disposition includes transferring records for long term storage to the SRC, to an off-site storage location such as the FRC, or transfer to someone else within the company. Disposition also includes records destruction, or archiving for permanent retention by the National Archives and Records Administration (NARA) or DOE.

RC

1. Complete the process of scheduling by using the process in Section H.
2. Treat unscheduled records as permanent and ineligible for disposition.
3. IF records are electronic and are compressed or encrypted, THEN decompress and remove encryption before storage.
4. Accommodate the data transportability specifications and documentation for storage of permanent electronic records set forth by the National Archives and Records Administration (NARA) in 36 CFR Chapter 12.
5. Ensure records remain accessible and retrievable for the authorized lifetime.

This retention time can be 75 years or more.

NOTE 2: Records are government property and cannot be removed from company premises or destroyed without authority. Records can not be transferred to other agencies or the public without NARA approval.

Subject: Records Management

G. Disposing of Records (cont.)

- RC 6. IF terminating or transferring, THEN
 use RAILS to turn over accountability to an appropriate
 company employee.
- RC/RS 7. Destroy eligible records by shredding, incineration, burial in a DOE-
 approved landfill, or recycling, as appropriate for record type,
 classification, or business sensitivity.

H. Determining Record Retention and Disposition Authorization

NOTE: Records are generally tracked and scheduled as part of a
 records series so that similar records have the same
 retention period. Retention periods set by NARA and
 DOE are mandatory.

- RC 1. Utilize the authorized retention schedules approved for use within
 Energy Systems contained in the controlled Approved Comprehensive
 Records Schedule at url

 <http://www-internal-lmes1.ornl.gov/scripts/eicms/RegMenu.cfm>

 to identify series of records and their authorized retention periods.
2. Complete inventory information on record holdings to describe
 records holdings, including all formats for each record series.
3. Access RAILS (at least annually) to view inventories of records and
 ensure the information included there is accurate, current, and
 complete.
- Use the *View/Modify Your Current Records Series Inventories* capability to modify inventories as needed for activities such as corrections or transfer requests

Subject: Records Management**H. Determining Record Retention and Disposition Authorization
(cont.)**

- Add a new record series to the inventory by using *Add a New Records Series to Your Inventory*.
 - Use *Delete Existing Records Series from Your Inventory* to delete a record series.
4. Determine if your boxes of records in the SRC are eligible for destruction by using the RAILS feature to *Review Your Records that are Eligible for Destruction*
 5. Follow the *View/Modify* screen of RAILS to submit required information for scheduling records.
 6. Provide additional inventory information when records are electronic:
 - system name, acronym, version
 - purpose(s)
 - users
 - access controls for data security and integrity
 - hardware and software used
 - feeder inputs/outputs
 - metadata retained
 - retrieval tools
 - archiving and backup decisions: online, near line, offline
 - documentation and procedures
 - retention of software, documentation and electronic data

Subject: Records Management

H. Determining Record Retention and Disposition Authorization (cont.)

RO

7. Review and authorize records inventories and retention periods assigned to the record series and captured in EICMS.

EICMS is the official collection of authorized records retention periods for records series and is the system which documents assigned records custodians for official records.

NOTE: Records needed for litigation or for special studies are placed under a moratorium or hold order from the Office of General Counsel and/or the LMES Records Officer. These holds and moratoriums are reflected in the Approved Comprehensive Records Schedule referenced above. Either office may be contacted for verification before destroying records. Compelling business reasons may require additional retention beyond the authorized retention period. Use RAILS to *request further assistance from Records Analysis* when you believe an authorized retention period is inadequate to meet your needs for long term usage of the record.

RC

8. IF there is no moratorium on destruction of a record, and the record has been retained for the authorized retention period,
THEN
destroy the record.

RS

9. WHEN records stored in the SRC are determined to be eligible for destruction, THEN
Notify record custodians of impending destruction using RAILS and request authorization for destruction.

RC

10. Respond promptly by either authorizing destruction or by providing justification to retain records.

RS/RC

11. Schedule records at the series level rather than at the individual record level.

In some cases, organizations may need to attach retention periods to individual records. EICMS can be used to accommodate that need. Contact the EICMS Software Configuration Manager or the RO for assistance.

Subject: Records Management**I. Managing Records Cost Effectively**

The creation and management of information is a major cost of doing business throughout the company. It is important to manage it effectively so that multiple users of the information are not duplicating effort, and to remove unnecessary information when no longer needed. Appendix D provides examples of benefits resulting from the effective management of records.

ALL

1. Distinguish between records and nonrecords, and segregate them to the extent doing so enables easy destruction of nonrecords when no longer needed for reference.
2. When issuing records, identify a record copy custodian for the record, allowing others to destroy reference copies at will.
3. Maintain records in higher cost office areas or on-line information systems only as long as they are actively needed for business use.
4. Consider digitizing high use fragile records for easier access/sharing of information and to protect the original records from continuous use.
5. Perform an evaluation when procuring records management support and/or equipment to ensure records management requirements are met within the procurement.
 - Notify the Energy Systems records officer of large procurements of this type that might have company implications

J. Assessments

RO/OM/RS

1. Perform assessments in accordance with 60-028, *Y-12 Plant Management Assessment* and QA-911, *Management Assessment*. Appendix E provides a records management checklist which may be used to perform self assessments

K. Training

OM/RO

1. Personnel managing records must be adequately trained, consistent with their job duties.

Subject: Records Management**RECORDS**

These records shall be maintained in accordance with approved records inventory and disposition schedules.

OM

- Records management supplemental procedures
- Media migration plans

OM/RS

- Disaster recovery and prevention plans for major collections of records

RO

- Approved Comprehensive Records Schedule
- EICMS

**SOURCE
DOCUMENTS**

Requirement units as approved in Energy Systems Standards/Requirements Identification Document, Chapter 1, Subelement 1.8, *Information Management*

APPENDICES

- A. *Definitions and Acronyms*
- B. *Sample Disaster Recovery and Prevention Plan*
- C. *Supplementary Requirements for Selected Records Series and Record Media*
- D. *Benefits of Records Management*
- E. *Records Management Checklist*

Subject: Records Management

Appendix A
Definitions and Acronyms
(Page 1 of 6)

Active Records - records referred to frequently in the conduct of current business and maintained in office space of the using organization.

Adequate and Proper Documentation - a record of the conduct of government and company business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions designed to furnish the information necessary to protect the legal and financial rights of the government, company, and of persons directly affected by the activities conducted by Energy Systems,

Appraisal - the process of determining the value and then the final disposition of records making them either temporary or permanent.

Authentication - giving proof of authority, or certifying the quality of being valid, authentic/genuine. It is also the process whereby a record is confirmed to be complete and exact in accordance with fact or reality. This process is accomplished by an individual, who is competent to make that determination and can certify or attest to the validity, truthfulness and accuracy of the statements, factors or pictorial representations presented by affixing a seal, signature, initial, or other acceptable method of proof as to genuine, validity, reliability, etc. An authenticated record is considered fully trustworthy in each significant aspect.

Authorized Retention - the time period for which a record series may be kept, which is incorporated in the Approved Comprehensive Records Schedule. If an authorized retention does not exist for a record, the record custodian and the records officer must resolve.

Disposition - the actions taken with regard to records following their appraisal. These actions include transfer to a Site Records Center (SRC) or Federal Records Center (FRC) for temporary storage, transfer to an archival facility, microfilming, destruction, or retirement.

Electronic Media - any type of automated office electronic record recording medium such as disk, diskette, tape, and tape cartridges, etc.

Electronic Record - a record stored in a form that only a computer can process. Electronic records are also called machine-readable records or Automated Data Processing (ADP) records. Electronic records are hardware and software dependent.

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Emergency Operating Center (EOC)/Emergency Control Center (ECC) - a facility from which management and support personnel carry out emergency response activities. The EOC/ECC may be a dedicated facility or office, conference room, or other predesignated location having appropriate communications and informational materials to carry out the assigned emergency response mission, and located where possible in a secure and protected location.

Emergency Operating Records - one category of vital records that, regardless of media, is essential to the continued operation, reconstitution, and response of a facility to an emergency. This includes any policy, procedural, or reference records that provide guidance or information necessary for conducting an emergency response and resuming normal operations after an emergency.

Energy Systems Approved Comprehensive Records Schedule - the document within Energy Systems that provides records retention authorization for records and nonrecords. This schedule is a compilation of approvals from NARA, DOE, and Lockheed Martin Corporation.

Federal Records Center (FRC) - a records storage facility operated by NARA for housing and servicing noncurrent records. Records may be stored there from Energy Systems when authorized by the SRC and NARA.

General Records Schedule (GRS) - the approved records schedule, issued by NARA, which covers general and non program/project-related files for all Federal records, and is approved for appropriate usage with certain DOE records created and maintained by Energy Systems.

Historical Records - official inactive records of permanent value which have been determined by NARA to be essential to the Department of Energy (DOE) History Program or records that may appear to have historical value in order to prepare the Department's official history and/or to maintain adequate institutional memory.

Inactive Records - records for which a meaningful day-to-day business function has ceased to exist but which must be retained per the authorized records retention schedule. These records may be removed from the field to the SRC without impairment of company business.

Legal and Financial Rights Records - one category of vital records essential to the preservation of the legal rights and interests of individual employees and the government.

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Lifetime Quality Assurance (QA) Records - Records of design, construction, operation, maintenance, and modification of engineered safety systems or structures and records that meet one or more of these criteria:

- Provide significant value in demonstrating capability for safe operation; or in maintaining, repairing, replacing, or modifying an item; or in determining the cause of an accident or malfunction of an item
- Provide required baseline data for in-service inspections
- QA records pertaining to environmental, hazardous systems, or material disposal

Records that document the following:

- QA programs that are DOE or other sponsor imposed
- Consequence of failure that includes the possible loss of use of a unique Energy Systems facility
- Failure that could result in a significant risk of inadvertent environmental, public, or personnel exposure to biological, chemical, or radiological hazards
- Failure that could result in significant adverse publicity which could damage Energy Systems' reputation

Any items other than the above which have been identified in other requirements documents.

Records that meet the criteria of ASME-NQA-1, (1989 Edition) Quality Assurance Program Requirements for Nuclear Facilities, Basic Requirement 17 and Supplement 17S-1, Records Management, and are not required to be maintained for the life of the particular item while it is installed in the plant, or laboratory, or stored for future use. Using NARA terminology, these records would be considered nonpermanent, temporary, or contingent records.

Metadata - term used to reference data about a record. This can include data such as author, title of record, etc. In some cases, metadata is required and compliance to capturing the metadata is necessary.

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National Archives and Records Administration (NARA) - Federal agency which has the ultimate scheduling, retention, and disposition authority for all Federal records including those of DOE.

Nonpermanent Records - records that are required as evidence that an activity was performed in accordance with applicable requirements, but need not be retained for the life of an item because they do not meet the criteria for lifetime records. These records are also referred to as temporary records and must have a defined retention period.

Permanent Records - records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Government beyond the time they are needed for administrative, legal, or fiscal purposes. Permanent records are sometimes called archival records. Permanent Government records will be transferred to the National Archives as appropriate.

Personal Papers - documentary materials belonging to an individual that are not used to conduct agency business, but are related solely to an individual's own affairs or used exclusively for that individual's convenience. They must be clearly designated as such and kept separate from the other records. Also called personal files or personal records. If information about private matters appears in a federal record, it shall be copied, with the personal information deleted, and the copied record treated as the record.

Quality Assurance (QA) Record - a completed document that furnishes evidence of quality of items, activities or credentials and has been designated a QA record. Such records are considered to be lifetime or nonpermanent records. Also see entries for lifetime and nonpermanent records.

Record Copy - an official record (copy or original) retained for legal, operational, or historical purposes.

Record Custodian - person responsible for identifying and maintaining a particular group of records.

Recordkeeping Requirements - statements in statutes, regulations, corporate procedures, or DOE directives providing general and specific information on particular record materials.

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Records - information created by or for Energy Systems preserved or appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities or because of the informational value of the data regardless of physical form or characteristics, under the provisions of Contract DE-AC05-84OR21400 or in connection with business transactions under the contract. It includes, but is not limited to, all paper, film and electronic documents, reports, correspondence, notebooks, diaries, engineering drawings, personal calendars, appointment books, telephone directories, notes and memoranda used, generated or received by Energy Systems directors, employees, consultants and subcontractors.

Records refers to those classes of documentary material which may be disposed of only after archival authority is obtained. As defined in 44 USC 3301, *Definition of a Record*, records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States (U.S.) Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of informational value of data in them. Criteria for the identification of records may be more specifically established in site procedures developed by the individual business unit.

Records Inventory - a complete listing of locations and content of an organization's/individual's information identifying records and nonrecords regardless of media or format.

Records and Inventory Disposition Schedule (RIDS) - The DOE format for the listing and reporting of records inventory and disposition schedule holdings. The LMES Approved Comprehensive Records Schedule performs this function.

Records Series - a group of similar or related records used or filed together as a unit and retired at the same time.

Records Management - the organized system for the control of records from the time they are generated until their final disposition.

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Records Officer - the person responsible for the policies and overall direction of the implementation and continuing operation and maintenance of the records management program at Energy Systems and who supports the line organization in implementation of records management requirements.

Records Schedules - approved records retention standards grouped together by common subject matter. Primary sources of retention standards come from DOE, NARA, and Lockheed Martin Corporation. In cases where there are no existing approved guidelines, NARA is the final authority on approving retention guidance for government records.

Transfer - the change of custodial responsibility for records by removal or assignment to another employee, DOE or contractor installation, an SRC, an FRC, National Archives, another federal agency, or other outside recipient.

Uniform Filing Guide - a method of arranging records in a particular order or sequence in accordance with the system developed at Energy Systems.

Unscheduled Records - any record that has not been appraised by NARA (i.e., a record that hasn't been approved for disposal nor designated as permanent). It must be treated as permanent until scheduled.

Vital Records - records essential for maintaining the continuity of government and corporate activities during a national emergency. The vital records program includes two basic categories: emergency operating records, and legal and financial rights records.

Subject: Records Management

Appendix B
Sample Disaster Recovery and Prevention Plan
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NOTE: Major collections of records include the Site Records Center, Document Management Centers, Document Response Centers, File Stations of major records collections (i.e., site personnel records, site medical records, etc.), and Facility Records.

Use the following daily upkeep checklist:

- Are locks on doors secure and all keys accounted for?
- Are any pipes, faucets, toilets, or air-conditioning units leaking?
- Is electrical equipment unplugged and free of frayed wiring?
- Are there any signs of structural damage?

Use this periodic checklist:

- Are emergency numbers accurate and posted near every phone?
- Were fire extinguishers, smoke alarms, sprinkler systems, and public address systems operable during the most recent fire inspection?
- Are flashlights and emergency lights available and operable?
- Are staff members familiar with fire extinguishers, fire exits, flashlights, and how to reach any in-house disaster recovery team?
- When was the most recent fire drill?
- Are electronic media a safe distance from magnetic sources?

Attach the most recent inventory of materials/equipment.

Attach a list of all locations where this plan is on file.

Attach map or floor plan with cut-off switches and valve locations marked and labeled for electric, gas, water, sprinkler system, and other equipment.

Attach an updated list of in-house emergency equipment, including fire alarms, fire extinguishers, heavy duty extension cords, fans, mops, buckets, sponges, portable generator, portable pump or sump pump, dehumidifiers, safety helmets, and wet-dry vacuum.

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Attach lists of materials located in the major collection with priority for salvage assigned as follows:

- salvage at all costs
- salvage if time permits
- salvage as part of general clean-up

Use the following questions in determining priorities:

- Can the item be replaced? At what cost?
- Would cost of replacement be less than restoring the item?
- How important is the item to the collection?
- Is the item available elsewhere?

Keep these items stored on hand, if possible:

- copy of disaster recovery plan (wrapped in plastic)
- rubber gloves
- plastic sheeting (3 mil or more) or trash bags
- scissors
- tape or plastic clips
- string
- first aid kit
- flashlight(s) with extra batteries
- waterproof markers

Keep the following Disaster Recovery Plan information updated:

- name of division
- date of completion/update of this plan
- list of personnel names and phone numbers (home and work) to be called in the event of a disaster, including the Emergency Action Center (911), Plant Shift Superintendent, electrician, plumber, carpenter, locksmith, and janitor as well as any in-house disaster recovery team members/alternates
- list of who is to call whom upon the discovery of a disaster
- list of off-site services to be called in the event of a disaster

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In the event of a major disaster, entering the building before it has been declared safe by the appropriate personnel could result in injury.

- assess the damage by walking through the entire area and taking extensive notes with a pencil (ink will run)
- determine how much damage has occurred (whether damage is confined to one area or if the entire building is damaged)
- determine the kind of damage (fire, smoke, soot, clean water, dirty water, heat, humidity)
- determine the damage to records, structure, and contents
- determine if the damaged items/materials are easily replaced or irreplaceable
- determine if damaged items/materials can be salvaged by an in-house recovery team or if outside help will be required.

Active the in-house disaster recovery team:

- organize work crews, defining responsibilities clearly
- ensure disaster and recovery areas are inaccessible to public
- provide frequent rest breaks for the workers

Take photographs to document the damage.

Contact sources of supplies, services, and outside vendors.

Stabilize the environment to prevent the growth of mold and corrosion of metal and electronic items.

Ensure the dehumidifying equipment, fans, portable generators, pumps, thermometers, and hygrometers are readily accessible to help stabilize the environment.

NOTE: Ninety-five percent of all disasters will result in water damaged materials. Mold will develop within 48 to 72 hours in a warm, humid environment.

Install dehumidifiers in a timely manner to help lower the humidity and limit the mold growth and the corrosion process.

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NOTE: Raising the temperature will not remove moisture but only accelerate mold growth.

Monitor the temperature and humidity constantly to ensure that temperature is under 75 degrees F and the relative humidity is under 60%.

Run fans and dehumidifiers constantly to circulate the air in damaged area and accelerate the drying process.

*******WARNING*******

Extreme caution must be taken when pumping water, as standing water can conceal hazards to personnel.

Pump any standing water from the area. Restore the area.

- separate the affected materials to prevent spreading
- if time does not permit immediate treatment, then freeze the material to inhibit the growth of mold
- when the mold is dry, then vacuum or brush, and remove the spores from the area
- clean area thoroughly after it has been stabilized and dried
- inspect walls, floors, ceilings, and all furniture and equipment for further restoration
- remove smoke odor
- arrange for professional to fog with fungicides or insecticides
- examine the carpeting and padding carefully for mold

Subject: Records Management

Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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Because of the media, value, or the sensitivity of the information, some records have additional requirements for protection, access, retrieval, and storage. Additional requirements for them are found in procedures that relate specifically to them. For example, Privacy Act records have additional requirements found in IO-157, *Privacy Act Compliance* and MD-152, *Release of Medical Records Outside Energy Systems*.

SECTION 1. ELECTRONIC RECORDS

This guidance applies to all electronic records systems whether on microcomputers, minicomputers, or mainframe computers regardless of storage media or configuration. An electronic system includes the inputs and outputs that are generated, as well as the information on electronic media. The system may contain budgetary, fiscal, scientific-technical or program-related data and information, operated in support of Energy Systems programs and management responsibilities.

A. Documenting Electronic Record Systems

1. Define the following:
 - a. Functions supported by the system: operational, legal, audit, oversight, or historical requirements for the information.
 - b. How the information will be used, accessed, and maintained on each medium to meet these differing requirements.
 - c. Procedural controls employed to preserve the integrity of the data in the system and ensure only authorized persons have access. Use of non-shareable passwords is one method of minimizing unauthorized access.
2. Implement and maintain an effective records security program through access and usage controls and backups to prevent unauthorized access, loss or removal, modification, damage by power interruption or human error, or theft of records created or acquired in electronic form.

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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A. Documenting Electronic Record Systems (cont.)

3. Define technical documentation that includes system architecture, field definition, record layouts, data element definition, and code books that identify and interpret all codes used to record and maintain data. Additional guidance for quality software records are contained in *IEEE Standard 730.1-1995*.
4. Describe update cycles or conditions and rules for adding and deleting information.
5. Maintain documentation of both the system and the data that are current until the information system is discontinued.
6. Review electronic records at least once per year to ensure they meet requirements of this procedure.
7. Establish processes for addressing records management requirements, including recordkeeping requirements and disposition before approving new electronic records systems.
8. Document thoroughly the recordkeeping system's operation and the controls imposed upon it to establish trustworthiness, which is a basis for admitting electronic records as evidence to federal courts for use in court proceedings.

B. Labeling and Indexing Electronic Records

1. Use readily understandable and standard internal document labels so that users can identify and retrieve electronically stored information in a timely manner.
2. Include on external labels, as applicable (36 CFR Chapter XII 1234):
 - Name of the organizational unit responsible for the data
 - File title, dates of creation and coverage, recording density
 - Type of internal labels, descriptive title of contents, security classification
 - Data set names
 - Volume serial number

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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B. Labeling and Indexing Electronic Records (cont.)

- Number of tracks
 - Character code/software and hardware dependency
 - Record length
 - Block size, and reel sequence number, if the file is part of a multireel set
- 3. WHEN necessary to keep external labels physically separate from the media for security purposes, THEN
 cross reference the external labels on the disks and diskettes.
- 4. Code, name, date, and accurately describe subject-filed electronic records in sufficient detail to permit their retrieval.
 - a. Code each record by assigning the applicable subject classification code in accordance with the Energy Systems Uniform Filing Guide or its equivalent.
 - b. Enter as much of the descriptive information as is feasible on the index of the diskette as part of the file title.
 - c. Provide necessary information in excess of the indexing capability of the machine either as external information available to users or as additional information in a separate electronic record.
- 5. Index case-filed electronic records.
 - a. Print out diskette indexes to ensure easy access
 - b. Base the complexity of the indexing system on the volume of records, retention periods, and the users' familiarity with the records and include such things as date, subject, sender, receiver, and number (case contract, purchase order, etc.).

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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C. Scheduling and Disposition of Electronic Records

1. Ensure electronic information systems are reviewed for recordkeeping requirements and are scheduled.
2. Destroy electronic records only in accordance with an approved records disposition schedule.
3. Ensure that electronically stored records are easily retrievable until their authorized disposition. This requires a media migration plan if required retention is longer than the life of the media being used.
4. Convert permanent records that are to be transferred to the NARA and are stored on disks or diskettes either to magnetic tape or to paper or microform. The system must be able to accommodate the data transportability specifications and documentation for those permanent records that will be transferred to NARA. (See 36 CFR Chapter 12, National Archives and Records Administration)
5. Follow the approved method of erasure or destruction established by Computer Security for classified or sensitive unclassified records that are to be destroyed.

D. Storing Permanent or Unscheduled Electronic Records

1. Separate magnetic media containing permanent records from those containing temporary records.
2. WHEN storing electronic records that are permanent or unscheduled, THEN test and certify magnetic computer tape no more than 6 months before using.
3. WHEN writing tapes, THEN verify them as error free according to National Institute of Standards and Technology or industry standards.
4. Read an annual twenty percent statistical sample, or whichever is larger (a sample size of 50 reels from 1800 or fewer, or 384 reels for larger libraries) of all reels of tape containing unscheduled or permanent records to identify any loss of data and to discover its causes.

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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D. Storing Permanent or Unscheduled Electronic Records (cont.)

5. Attempt to eliminate errors and their causes.
6. Replace tapes with 10 or more errors and restore lost data when possible.
7. Maintain appropriate backup copies in separate locations or printed copies of the program or data.
8. Maintain operating, storage, and test areas for computer magnetic media at the constant temperature of 62-68° F and the constant relative humidity of 35-45%.
9. Rewind all tapes containing nonscheduled or permanent records every 3 1/2 years under controlled tension.
10. Copy permanent or unscheduled data that is on magnetic tapes onto tested and verified new tapes before the tapes are 10 years old.
11. Avoid the use of floppy disks for the exclusive long-term storage of permanent or unscheduled electronic records.
12. Maintain indexing information as required in 36 CFR Chap. XII.

E. General Requirements for Storing Electronic Records

1. IF the media has a shorter life span than the retention period, THEN ensure a documented plan is prepared and appropriately approved to outline how records will be transferred to another media or recopied.
2. Update magnetic media to provide compatibility with Energy Systems hardware or software and to ensure information is not lost because of changing technology or deteriorating magnetic media.
3. Determine that the authorized disposition can be implemented after conversion before converting to a different medium.

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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- E. General Requirements for Storing Electronic Records (cont.)
4. Consider the portability of the medium when choosing a storage medium (that is, select a medium that will run on equipment offered by multiple manufacturers).
 5. Use special handling and storage for electronic media stored longer than one year.
 6. Protect electronic media from magnetic fields and light.
 7. Limit storage libraries and computer rooms access to authorized personnel.
 8. Prohibit smoking, eating, and drinking in computer rooms and storage libraries.
 9. Assess electronic records systems periodically for conformance to established standards, policies, and procedures.
 10. Maintain appropriate backup copies.

SECTION 2. MICROFILMED RECORDS

- A. Converting records to microfilm
1. Ensure that microfilming activity is completed as part of the regular course of business.
 2. Ensure chosen alternative is the most cost-effective and efficient system unless overriding intangible benefits necessitate an alternative decision.
 3. WHEN work is outsourced and a vendor is chosen, THEN
ensure work follows the standards for format and film/image requirements (including quality control) found in 36 CFR, Chapter XII, Micrographic Records Management.

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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SECTION 3. OPTICAL DISK RECORDS

A. Optical Disk Record Requirements

1. Coordinate use of optical disk technology with the Energy Systems Records Officer when its purpose is to store an official record to ensure the technology:
 - Is cost justified
 - Encompasses legal requirements and can be integrated into existing company records systems
 - Has appropriate applications for its intended use.
 - Will meet requirements for preserving records for the length of their authorized retention
2. WHEN the objective is to seek approval for retaining the original on this medium, THEN
ensure the following requirements are incorporated into new optical disk-based storage systems:
 - a. Provide substantiation that security procedures exist to prevent unauthorized modification of a record and ensure system protection against such problems as power interruptions.
 - b. Provide documentation that similar types of records are created by the same processes and have a standardized retrieval approach.
 - c. Develop and maintain documentation of up-to-date technical and user documentation which includes a narrative description of the system, physical and technical characteristics of the records including a record layout that describes each field or a data dictionary (or equivalent information associated with a database management system including a description of the relationship between data elements in databases), and any other technical information needed to read or process the records.
 - d. Ensure optical disk technology used does not allow deletion or modification of record images.

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Supplementary Requirements for Selected Records Series and Record Media
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SECTION 3. OPTICAL DISK RECORDS (cont.)

A. Optical Disk Record Requirements (cont.)

- e. Maintain the hard copy until verification of the legibility of each record image to ensure that the image is legible on both disks or until the image is rescanned successfully.
- f. Ensure the optical disk is stored in the document imaging system for on-line retrieval and the hard copy is maintained in a records storage facility meeting applicable requirements.
- g. IF the application of the optical disk permits destruction of the hard copy,
THEN
 ensure a duplicate optical disk is prepared and stored in a facility meeting applicable requirements.
- h. Incorporate manufacturer recommendations relating to software control, disk life expectancy, environmental storage conditions and maintenance into policies and procedures.
- i. Ensure records stored on an optical disk are acceptably copied onto a new optical disk and verified before the manufacturer's certified useful life of the original disk is exceeded.
- j. IF the optical disk document imaging system in use is to be replaced by an incompatible new system, THEN
 convert records stored on old system's disk acceptably into the new system and verify before old system is taken out of service.
- k. IF the records to be stored on optical disk are permanent, THEN
 you will be required to convert records to a medium acceptable to NARA at the time of transfer to NARA's legal custody.

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Supplementary Requirements for Selected Records Series and Record Media
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SECTION 3. OPTICAL DISK RECORDS (cont.)

A. Optical Disk Record Requirements (cont.)

- l. Consider the following prior to selection of optical storage media:
 - Authorized life of the records, as determined during the records scheduling process
 - Maintenance necessary to retain the records
 - Cost of storing and retrieving the records
 - Records density
 - Access time to retrieve stored records
 - Portability of the medium (that is, selection of a system that will run on equipment offered by multiple manufacturers) and the ability to transfer the information from one medium to another (such as from optical disk to magnetic tape)
 - Legal implications
- m. Institute the following controls prior to implementation of an optical disk system:
 - Directions for a standard master index of documents on the storage medium
 - A program to ensure backup and retrievability of information
 - Quality control during data analysis
 - Quality controls on the copying and imaging process are in place that ensure verification that the resultant copy is legible, confirmation that printed sides are copied, and that quality audits conducted annually of randomly selected disks shall take place to verify that there has been no degradation of image quality
 - An index identifying software applications used in conjunction with the data, software, and user controls consistent with this guideline
 - Software validation and verification before use
 - Periodic quality audits of software
 - Prevention of unauthorized manipulation of data
 - Assurance that previously stored information is retrievable and usable after system modifications or transfer of system management/development to another responsible person/contractor
 - A reliable system to prevent overwriting or erasure of records exists

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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SECTION 3. OPTICAL DISK RECORDS (cont.)

E. Optical Disk Record Requirements (cont.)

- n. Coordinate with legal counsel, Information Management Services, and records management staff.
- o. Conduct periodic process reviews to ensure the quality controls established in the operating procedures are being followed.
- p. Develop trails for the following processes:
 - Handling of source documents
 - Individual accountability (date/time stamps or user stamps)
 - Usage of electronic documents (image additions, updates, deletions)
 - Reporting on key transactions
 - Irregular processing (exceptions to normal processing procedures)
- r. Establish policy/procedures of process control for segregation of duties by system administrators and users.

SECTION 4. RADIOGRAPHIC RECORDS

NOTE: The following guidelines are recommended for the care and handling of radiographs and required for vital radiographs.

A. Radiographic Enclosure Materials

- 1. Establish special care and handling criteria for radiographic film to ensure adequate film preservation.
- 2. Protect radiographs using both film manufacturer's envelopes for sets of radiographs and interleaving paper for each radiograph when appropriate.

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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SECTION 4. RADIOGRAPHIC RECORDS (cont.)

A. Radiographic Enclosure Materials (cont.)

3. Ensure both envelopes and interleaves meet the film manufacturer's recommendation including the following physical and chemical requirements:
 - a. Enclosure material is free of acids and peroxides that may be released slowly over time and cause image instability or chemical decomposition of the film.
 - b. The enclosure itself is chemically stable and opaque or otherwise provides protection from light exposure.
 - c. Enclosure material has a slightly rough or matted surface but not rough enough that it can cause abrasion problems.
 - d. Enclosure materials do not contain rubber bands, paper clips, staples, or other material that could scratch or contaminate the radiographs.
 - e. Radiographic examination reports and shooting sketches are not stored in direct contact with radiographs.

B. Care and Handling of Radiographic Records

1. Wear thin cotton or nylon (lint-free) gloves when handling radiographs.
2. Handle radiographs in a manner that is not detrimental to film quality.
3. Ensure contaminants are not placed in direct contact with the film.
4. Ensure radiographs are adequately supported to prevent bending and are positioned to avoid damage caused by stacking.
5. Ensure radiographs are not stored in the presence of chemical fumes.

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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SECTION 4. RADIOGRAPHIC RECORDS (cont.)

B. Care and Handling of Radiographic Records (cont.)

*****WARNING*****

Film produced before the 1950's could be nitrate
and a potential fire hazard.

6. IF nitrate film is discovered, THEN
remove from storage immediately and consult Fire Protection specialists.

NOTE 1: The maximum temperature for extended periods should not exceed 77° F and a temperature below 68° F is preferable. The peak temperature during periods of equipment maintenance shall not exceed 90° F.

NOTE 2: Federal Records Center (FRC) storage shall not be used for permanent or litigation x-rays unless space meeting the excellent environmental standards is made available. If such x-rays are currently stored at an FRC without environmental controls, they shall be removed no later than 3 years after placement. Deterioration is a risk if x-rays are stored for a longer period.

7. Maintain a constant temperature of 40-75° F and a constant relative humidity of 30-60%.

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Supplementary Requirements for Selected Records Series and Record Media
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SECTION 5. AUDIOVISUAL RECORDS

NOTE: This procedure applies to all audiovisual records such as still photographs, motion pictures, video and sound recordings, and graphic arts. Audiovisual records have complex and diverse physical attributes that pose some special handling, storage, and preservation problems.

A. Special Handling for Permanent or Unscheduled Audiovisual Records

1. Identify permanent or unscheduled audiovisual records on nitrate and diacetate films because of their age and inherent instability.
2. Recommend to Energy Systems Records Officer that such records be offered to NARA immediately so they may be reviewed for disposal or copied and destroyed, as appropriate.
3. Store audiovisual masters in audiovisual storage containers or enclosures made of noncorroding metal, inert plastic or paper containers and other safe materials as outlined in 36 CFR, Chapter XII.
4. Maintain continuous custody of permanent or unscheduled audiovisual records.
5. Make loans of such records outside of DOE only if a record copy is maintained in Energy Systems' custody at all times.
6. Ensure information recorded on permanent or unscheduled magnetic sound or video media is not erased.
7. Establish environmental storage control at the following recommended temperatures and relative humidities:
 - Constant Temperature: 70° F or cooler
 - Constant Relative Humidity: 30-40% not to exceed 50%

Even colder and drier storage conditions are recommended for color films, which are very sensitive to heat, humidity and light.

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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SECTION 5. AUDIOVISUAL RECORDS (cont.)

B. Creating and Identifying Audiovisual Records

1. Use appropriate materials and procedures for creating audiovisual records and finding aids, especially for permanent or unscheduled records following 36 CFR, Chap. XII.
2. Identify audiovisual records.
 - a. Ensure every container of motion picture film, videotape, and audio recording has the generation clearly labeled to prevent the inadvertent use of a negative or master for reference purposes.
 - b. IF captions or their equivalent are used, THEN
store separately to prevent damage from attaching to photographs.

C. Maintaining and Using Audiovisual Records All Organizations

1. Take special measures in handling these records.
2. File trivial, disposable records separately from the important ones.
3. File masters and use copies, such as negatives and prints, separately to permit more convenient use of each and make it easier to take special care of the film negative or magnetic master, which is the most valuable copy of any audiovisual record.
4. Use appropriate indexes.
5. Maintain the association between audiovisual records and the finding aids such as catalogs and captions.
6. IF different versions of audiovisual productions are prepared, THEN
keep an unaltered copy of each version for record purposes.

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Appendix C
Supplementary Requirements for Selected Records Series and Record Media
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SECTION 5. AUDIOVISUAL RECORDS (cont.)

D. Storing and Preserving Audiovisual Records

1. Use only personnel trained to perform their audiovisual duties and responsibilities.
2. Prevent erasure or alteration of magnetic records.
3. Store negatives separately from prints, and magnetic masters separately from viewing or listening copies.
4. Secure the storage area against unauthorized access.
5. Protect from fire, water, and chemical damage.

*****WARNING*****

Film produced before the 1950's could be nitrate
and a potential fire hazard.

6. IF nitrate film is discovered, THEN
remove from storage immediately and consult Fire Protection Specialists.

E. Scheduling and Disposition of Audiovisual Records

1. Inventory, schedule, and disposition audiovisual records at the same time and in the context of other Energy Systems records.
2. Purge large files of redundant, duplicated images or sound records.

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Appendix D
Benefits of Records Management
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The benefits of efficient, effective, and compliant records management enable users to:

- control the creation and growth of records
- reduce operating costs
- improve efficiency and productivity
- assimilate new records management technologies
- ensure regulatory compliance
- minimize litigation risks and be responsive to litigation needs
- safeguard vital information
- support better management decision making, and
- preserve the corporate memory.

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Appendix E
Records Management Checklist
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